



PATENT
Attorney Docket No.: RFS-001
(9521/4)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Lieblich *et al.*
SERIAL NO.: 10/618,092 GROUP NO.: Not yet assigned
FILING DATE: July 11, 2003 EXAMINER: Not yet assigned
TITLE: Distributed Computer Monitoring System and Methods for Autonomous Computer Management

CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and any documents referred to as enclosed herein, are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 29th day of September, 2003.

Nicole Deane

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Submitted herewith are:

- 1.) Information Disclosure Statement (2 pgs.);
- 2.) Form PTO-1449 (1 pg.);
- 3.) Copies of documents cited as A1-A7 and C1-C2;
- 4.) Transmittal Form (1 pg.); and
- 5.) Return Receipt Postcard.



TRANSMITTAL FORM

Application Serial Number	10/618,092
Filing Date	July 11, 2003
First Named Inventor	Lieblich
Group Art Unit	Not yet assigned
Examiner Name	Not yet assigned
Attorney Docket No.	RFS-001
Patent No.	Not applicable
Issue Date	Not applicable

ENCLOSURES (check all that apply)

- | | | |
|--|---|---|
| <input type="checkbox"/> Fee Transmittal Form
<input type="checkbox"/> Check Attached
<input type="checkbox"/> Copy of Fee Transmittal Form

<input type="checkbox"/> Amendment/Response
<input type="checkbox"/> Preliminary
<input type="checkbox"/> After Final
<input type="checkbox"/> Affidavits/declaration(s)
<input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____]

<input type="checkbox"/> Petition for Extension of Time

<input checked="" type="checkbox"/> Information Disclosure Statement
<input checked="" type="checkbox"/> Form PTO-1449
<input checked="" type="checkbox"/> Copies of IDS Citations (A1-A7 & C1-C2)

<input type="checkbox"/> Certified Copy of Priority Document(s)

<input type="checkbox"/> Sequence Listing submission
<input type="checkbox"/> Paper Copy/CD
<input type="checkbox"/> Computer Readable Copy
<input type="checkbox"/> Statement verifying identity of above | <input type="checkbox"/> Copy of Notice to File Missing Parts of Application

<input type="checkbox"/> Formal Drawing(s)

<input type="checkbox"/> Request For Continued Examination (RCE) Transmittal

<input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)

<input type="checkbox"/> Terminal Disclaimer

<input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application

<input type="checkbox"/> Small Entity Statement

<input type="checkbox"/> CD(s) for large table or computer program

<input type="checkbox"/> Amendment After Allowance

<input type="checkbox"/> Request for Certificate of Correction
<input type="checkbox"/> Certificate of Correction (in duplicate) | <input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences

<input type="checkbox"/> Appeal Brief (in triplicate)

<input type="checkbox"/> Status Inquiry

<input checked="" type="checkbox"/> Return Receipt Postcard

<input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8

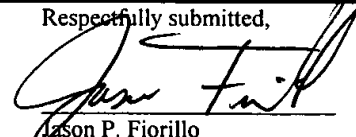
<input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8

<input type="checkbox"/> Additional Enclosure(s) (please identify below) |
|--|---|---|

CORRESPONDENCE ADDRESS

Direct all correspondence to: Patent Administrator
Testa, Hurwitz & Thibault, LLP
High Street Tower
125 High Street
Boston, MA 02110
Tel. No.: (617) 248-7000
Fax No.: (617) 248-7100

SIGNATURE BLOCK

Respectfully submitted,

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Date: September 29, 2003
Reg. No.: 52,892
Tel. No.: (617) 310-8471
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Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents and publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

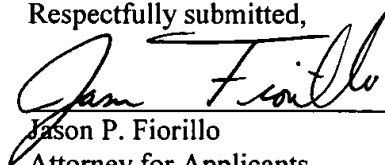
- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Date: September 29, 2003
Reg. No.: 52,892

Tel. No.: (617) 310-8471
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2686974

Respectfully submitted,



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FORM PTO - 1449				ATTORNEY DOCKET NO.: RFS-001					
INFORMATION DISCLOSURE STATEMENT				APPLICANTS: Lieblich <i>et al.</i>					
				SERIAL NO.: 10/618,092					
				FILING DATE: July 11, 2003					
				GROUP: Not yet assigned					
U.S. PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE		
	A1	5,655,081	08/05/97	Bonnell <i>et al.</i>	395	200	03/08/95		
	A2	5,924,096	07/13/99	Draper <i>et al.</i>	707	10	10/15/97		
	A3	6,012,152	01/04/00	Douik <i>et al.</i>	714	26	08/21/97		
	A4	6,513,065	01/28/03	Hafez <i>et al.</i>	709	224	03/04/99		
	A5	6,523,035	02/18/03	Fleming <i>et al.</i>	707	10	05/20/99		
	A6	6,560,647	05/06/03	Hafez <i>et al.</i>	709	224	03/04/99		
	A7	6,564,174	05/13/03	Ding <i>et al.</i>	702	186	09/29/99		
FOREIGN PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
OTHER ART, JOURNAL ARTICLES, ETC.									
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)								
	C1	PowerPoint Presentation by Infinetcorp Software and Services "The Company <i>ifcheck</i> Software Consulting Services" http://www.infinetcorp.com/product/download/pkgdir/ifcheckpp.ppt (39 pgs.)							
	C2	Tripwire Manager for Enterprise – Wide Security & Network Management "The "Dashboard,"" http://www.tripwire.com/products/manager/functional.cfm? (5 pgs.) 2003							

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EXAMINER	DATE CONSIDERED
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